

**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

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\*\*REGISTERED PATENT AGENTS



September 15, 2000

WRITER'S DIRECT NUMBER:

(202) 371-2674

INTERNET ADDRESS:

mlee@skgf.com

Commissioner for Patents  
Washington, D.C. 20231

**Box Missing Parts**  
**Art Unit 2743**

Re: U.S. Non-Provisional Utility Patent Application  
Appl. No. 09/550,644; Filed: April 14, 2000  
For: **Method and System for Down-Converting an Electromagnetic  
Signal, Transforms for Same, and Aperture Relationships**  
Inventors: Sorrells *et al.*  
Our Ref: 1744.0010009

Sir:

In reply to the Notice to File Missing Parts of Application--Filing Date Granted,  
Applicants submit the following documents for appropriate action by the U.S. Patent and  
Trademark Office:

1. Petition for Extension of Time under 37 C.F.R. § 1.136 (*in duplicate*);
2. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
3. Copy of the Notice to File Missing Parts;
4. Preliminary Amendment;
5. Original, executed Combined Declaration and Power of Attorney;
6. Original, executed Power of Attorney from Assignee;

Commissioner for Patents  
September 15, 2000  
Page 2

96

103 x 54

7. Original, executed Certificate under 37 C.F.R. § 3.73(b) with a copy of the Assignment attached;
8. Request for Corrected Official Filing Receipt;
9. Redlined copy of Filing Receipt in support of Request;
10. Return postcard; and
11. Our Check No. 28762 for \$ 2,161.00 to cover:

Q30

\$ 690.00 Filing Fee for Patent Application (37 C.F.R. § 1.16),  
\$ 972.00 Fee for excess total claims (37 C.F.R. § 1.16),  
\$ 234.00 Fee for excess independent claims (37 C.F.R. § 1.16),  
\$ 130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16),  
\$ 110.00 For extension of time fees (37 C.F.R. § 1.136), and  
\$ 25.00 For duplicate filing receipt fee (37 C.F.R. § 1.19(h)).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

## FORMALITIES LETTER

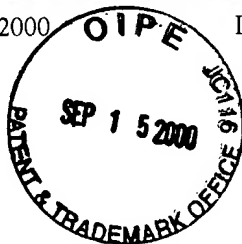


\*OC000000005202936\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/550,644	04/14/2000	David F. Sorrells	1744.0010009

Sterne Kessler Goldstein & Fox PLLC  
Attorneys at Law  
Suite 600  
1100 New York Avenue NW  
Washington, DC 20005-3934



Date Mailed: 06/26/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1206.
  - \$972 for 54 total claims over 20.
  - \$234 for 3 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2026.

*A copy of this notice MUST be returned with the reply.*

Mu

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/18/2000 HND00R1 00000035 09550644

01 FC:101	690.00
02 FC:102	234.00
03 FC:103	972.00
04 FC:105	130.00
05 FC:576	25.00
06 FC:115	110.00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sorrells *et al.*

Appl. No. 09/550,644

Filed: April 14, 2000

For: **Method and System for Down-  
Converting an Electromagnetic  
Signal, Transforms for Same, and  
Aperture Relationships**

Art Unit: 2743

Examiner: (to be assigned)

Atty. Docket: 1744.0010009

**Request for Corrected Official Filing Receipt**

Commissioner for Patents  
Washington, D.C. 20231

Attn: Office of Initial Patent  
Examination's Customer  
Service Center

Sir:

Applicants hereby request that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

***In the Continuing Data Section***

Please delete the information in this section and replace it with the following:

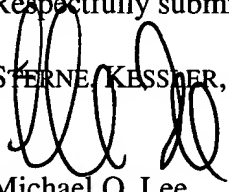
--This application is a CIP of 09/521,879, 03/09/2000 and a CIP of  
09/293,342, 04/16/1999, which is a CIP of 09/176,022 10/21/1998  
Pat 6,061,551.--

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted in red. It is requested that a corrected Official Filing Receipt be issued, and sent to the undersigned at the earliest possible time.

The fee for correcting the filing receipt due to Applicant error is enclosed in our check no. 28762. 37 C.F.R. § 1.19(h). The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this pleading is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

  
Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

Date: 9/15/00

1100 New York Avenue, #600  
Washington, D.C. 20005-3934  
(202) 371-2600

P:\USERS\VB\BEASTON\1744.0010009\RCOFR

SKGF Rev. 4/27/00 mac

## FILING RECEIPT



\*OC00000005202935\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/550,644	04/14/2000	2743	0	1744.0010009	340	74	6

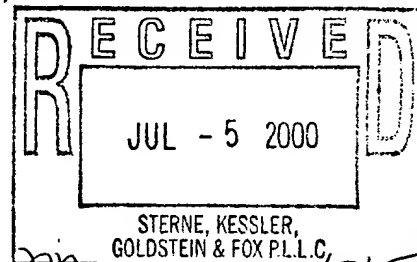
Sterne Kessler Goldstein & Fox PLLC  
Attorneys at Law  
Suite 600  
1100 New York Avenue NW  
Washington, DC 20005-3934

Date Mailed: 06/26/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

David F. Sorrells, Residence Not Provided;  
Michael J. Bultman, Residence Not Provided;  
Robert W. Cook, Residence Not Provided;  
Richard C. Looke, Residence Not Provided;  
Charley D. Moses, Jr., Residence Not Provided;  
Gregory S. Rawlins, Residence Not Provided;  
Michael W. Rawlins, Residence Not Provided;



## Continuing Data as Claimed by Applicant

~~THIS APPLICATION IS A CIP OF 09/293,342 04/16/1999~~  
~~WHICH IS A CIP OF 09/176,022 10/21/1998 PAT 6,061,551~~

-- This application is a CIP of 09/521,879, 03/09/2000  
and a CIP of 09/293,342, 04/16/1999, which is  
a CIP of 09/176,022, 10/21/1998 Pat 6,061,551

## Foreign Applications

If Required, Foreign Filing License Granted 06/22/2000

-

## Title

Method and system for down-converting an electromagnetic signal, and transforms for same, and aperture relationships

## Preliminary Class

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL</b> <b>for FY 2000</b> <i>Patent fees are subject to annual revision.</i> <i>Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i> <i>See 37 C.F.R. §§ 1.27 and 1.28.</i>		<b>Complete if Known</b>	
		Application Number	09/550,644
		Filing Date	April 14, 2000
		First Named Inventor	David F. Sorrells
		Examiner Name	(to be assigned)
		Group / Art Unit	2743
		Attorney Docket Number	1744.0010009
TOTAL AMOUNT OF PAYMENT		(\$ ) 2,161.00	

<b>METHOD OF PAYMENT (check one)</b>  1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:  <div style="border: 1px solid black; padding: 2px; margin: 5px 0;">           Deposit Account Number: 19-0036            Deposit Account Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.         </div> <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* <small>*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.</small>	<b>FEE CALCULATION (continued)</b>  <b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td>110.00</td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>690</td><td>246</td><td>345</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>345</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> </tbody> </table> <p>Other fee (specify): Duplicate Filing Receipt Fee (37 CFR 1.19(h)) \$25.00</p> <p>Other fee (specify):</p> <p>*Reduced by Basic Filing Fee Paid</p> <p style="text-align: right;"><b>SUBTOTAL (3) (\$ ) 265.00</b></p>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	130.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month	110.00	116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))		149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	
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<b>FEE CALCULATION</b>					
<b>1. BASIC FILING FEE</b>					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	\$690.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	334	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1) (\$ ) 690.00</b>					
<b>2. EXTRA CLAIM FEES</b>					
	Extra	Fee from below			Fee Paid
Total Claims 74 - 20** =	54	X \$18 =			\$972.00
Indep. Claims 6 - 3** =	3	X \$78 =			\$234.00
Multiple Dependent					
<small>** or number previously paid, if greater; For Reissues, see below</small>					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependent claim	
108	78	209	39	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2) (\$ ) 1,206.00</b>					

<b>SUBMITTED BY</b>				<b>Complete (if applicable)</b>	
Typed or Printed Name	Michael Q. Lee			Reg. Number	35,239
Signature				Deposit Acct. User ID	
	Date	9/15/00			

**WARNING:**  
 Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.